

22278 U.S. PTO
10/714014

111403

PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.63(b))	Attorney Docket No.	11321-P056US
	First Inventor	Khabashesku, et al.
	Title	Method for Functionalizing Carbon Nanotubes Using Peroxides
	Express Mail Label No.	EL812642220US

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria VA 22313-1450
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1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 50]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 12]
5. ☐ Oath or Declaration [Total Sheets]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ Paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: check.....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information:

Examiner

Art Unit:

For CONTINUATION OF DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☐ Customer Number: OR ☒ Correspondence address below

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Name (Print/Type)	Ross Spencer Garsson	Registration No. (Attorney/Agent)	38,150
Signature		Date	November 14, 2003

This collection of information is required by 37 CFR 1.52(g). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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17224 U.S. PTO

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PTO/SB/17 (10-03)
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FEE TRANSMITTAL for FY 2004		Complete if Known	
Effective 10/01/2003. Patent fees are subject to annual revision.		Application Number	TO BE ASSIGNED
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Filing Date	November 14, 2003
TOTAL AMOUNT OF PAYMENT (\$)		First Named Inventor	Khabashesku, et al.
1900.00		Examiner Name	Unknown
		Art Unit	Unknown
		Attorney Docket No.	11321-P056US

METHOD OF PAYMENT (check all that apply)		FEE CALCULATION (continued)	
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None		3. ADDITIONAL FEES	
<input checked="" type="checkbox"/> Deposit Account: Deposit Account Number: 23-2426 Deposit Account Name:		Large Entity Small Entity	
The Director is authorized to: (check all that apply) <input type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) or any underpayment of fee(s) <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.		Fee Code (\$) Fee Code (\$) Fee Description Fee Paid	
FEE CALCULATION		1051 130 2051 65 Surcharge - late filing fee or oath	
1. BASIC FILING FEE		1052 50 2052 25 Surcharge - late provisional filing fee or cover sheet	
Large Entity Small Entity		1053 130 1053 130 Non-English specification	
Fee Code (\$) Fee Code (\$) Fee Description Fee Paid		1812 2,520 1812 2,520 For filing a request for ex parte reexamination	
1001 770 2001 385 Utility filing fee 770.00		1804 920* 1804 920* Requesting publication of SIR prior to Examiner action	
1002 340 2002 170 Design filing fee		1805 1,840* 1805 1,840* Requesting publication of SIR after Examiner action	
1003 530 2003 265 Plant filing fee		1251 110 2251 55 Extension for reply within first month	
1004 770 2004 385 Reissue filing fee		1252 420 2252 210 Extension for reply within second month	
1005 160 2005 80 Provisional filing fee		1253 950 2253 475 Extension for reply within third month	
SUBTOTAL (1) (\$)		1254 1,480 2254 740 Extension for reply within fourth month	
770.00		1255 2,010 2255 1,005 Extension for reply within fifth month	
		1401 330 2401 165 Notice of Appeal	
		1402 330 2402 165 Filing a brief in support of an appeal	
		1403 290 2403 145 Request for oral hearing	
		1451 1,510 1451 1,510 Petition to institute a public use proceeding	
		1452 110 2452 55 Petition to revive - unavoidable	
		1453 1,330 2453 665 Petition to revive - unintentional	
		1501 1,330 2501 665 Utility issue fee (or reissue)	
		1502 480 2502 240 Design issue fee	
		1503 640 2503 320 Plant issue fee	
		1460 130 1460 130 Petitions to the Commissioner	
		1807 50 1807 50 Processing fee under 37 CFR 1.17(q)	
		1806 180 1806 180 Submission of Information Disclosure Stmt	
		8021 40 8021 40 Recording each patent assignment per property (times number of properties)	
		1809 770 2809 385 Filing a submission after final rejection (37 CFR 1.129(a))	
		1810 770 2810 385 For each additional invention to be examined (37 CFR 1.129(b))	
		1801 770 2801 385 Request for Continued Examination (RCE)	
		1802 900 1802 900 Request for expedited examination of a design application	
		Other fee (specify)	
2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE		SUBTOTAL (3) (\$)	
Total Claims 78 -20** = 58 x 18 = 1044			
Independent Claims 4 -3** = 1 x 86 = 86			
Multiple Dependent Claims 1			
SUBTOTAL (2) (\$)			
1130.00			
**or number previously paid, if greater; For Reissue, see above			

SUBMITTED BY		(Complete if applicable)	
Name (Print/Type)	Ross Spencer Garsson	Registration No. (Attorney/Agent)	38,150
Signature		Telephone	512-370-2870
		Date	November 14, 2003

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